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Our Case No.: 10371/8

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Peter L. Ciampi et al.

Serial No.: To Be Assigned

Filing Date: Herewith

For: Fair-Value Pricing of a Financial  
Asset

Examiner: To Be Assigned

Group Art Unit No.: To Be Assigned

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Information Disclosure Statement be entered and the documents listed below and on the attached Form PTO-1449 be considered by the Examiner and made of record. Copies of the listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

The references now cited are the following:

No.	Date	Name
5,517,406	May 14, 1996	Harris et al.
5,631,828	May 20, 1997	Hagan
5,644,727	July 1, 1997	Atkins
5,729,700	March 17, 1998	Melnikoff
5,784,696	July 21, 1998	Melnikoff
5,806,048	September 8, 1998	Kiron et al.
5,852,811	December 22, 1998	Atkins
5,864,828	January 26, 1999	Atkins
5,875,437	February 23, 1999	Atkins

5,884,285	March 16, 1999	Atkins
5,911,135	June 8, 1999	Atkins
5,911,136	June 8, 1999	Atkins
5,918,218	June 29, 1999	Harris et al.
5,926,792	July 20, 1999	Koppes et al.
5,946,666	August 31, 1999	Nevo et al.
5,983,204	November 9, 1999	Debe
5,999,917	December 7, 1999	Facciani et al.
6,018,714	January 25, 2000	Risen, Jr. et al.
6,029,148	February 22, 2000	Zurstrassen
6,078,904	June 20, 2000	Rebane
6,088,685	July 11, 2000	Kiron et al.
6,154,732	November 28, 2000	Tarbox
	February 2000	Eric Zitzewitz, "Daily Mutual Fund Net Asset Value Predictability And The Associated Trading Profit Opportunity"
	February 2000	John M.R. Chalmers, Roger M. Edelen & Gregory B. Kadlec, "Predictable changes in NAV: The wildcard option in transacting mutual-fund shares"
	March 31, 2000	William N. Goetzmann, Zoran Ivkovic & K. Geert Rouwenhorst, "Day Trading International Mutual Funds: Evidence and Policy Solutions"
	July 11, 2000	Mercer Bullard, "International Funds Still Sitting Ducks for Arbs," <u>The Street.com</u>
	November 20, 2000	The Bank of New York, Depository Receipt Division, "The Global Equity Investment Guide: The Case for Investing in Depository Receipts"
	December 2000	Robin Brooks & Luis Catão, "The New Economy and Global Stock Returns"
		Jason T. Greene & Charles W. Hodges, "The Dilution Impact of Daily Fund Flows on Open-end Mutual Funds"
		Draper, N.R. and Smith, H. "Applied Regression Analysis" 335-338 (Wiley 3rd ed. 1998)
		Hulbert, Mark, "Monitoring Trades for the Good of a Fund", <u>New York Times</u>

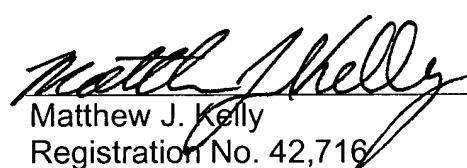
In accordance with 37 C.F.R. § 1.97(g),(h), this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

This Information Disclosure Statement is being filed prior to the receipt of the first Official Action reflecting an examination on the merits and hence is believed to be timely filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with filing of this Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to these material, the Commissioner is hereby authorized to deduct said fees from Brinks Hofer Gilson & Lione Deposit Account No. 23-1925. A duplicate copy of this document is enclosed.

Applicant(s) respectfully request that the listed documents be made of record in the present case.

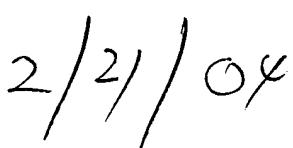


Respectfully submitted,

  
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2/21/04